

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

48699

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/155635

INTERNATIONAL APPLICATION NO.
PCT/JP98/00442INTERNATIONAL FILING DATE
February 16, 1998PRIORITY DATE CLAIMED
4 February 1997

TITLE OF INVENTION

LITHIUM ION SECONDARY BATTERY

300 Rec'd PCT/PTO 01 OCT 1998

APPLICANT(S) FOR DO/EO/US

Mitsubishi Chemical Corporation

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☐ Other items or information:

VERIFICATION OF TRANSLATION

PCT REQUEST (With Translation of application attached)

NOTIFICATION OF RECEIPT OF RECORD COPY (Form PCT/B/301);

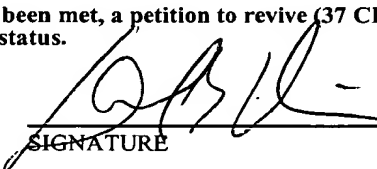
NOTIFICATION CONCERNING SUBMISSION OF PRIORITY DOCUMENTS (Form PCT/1B/304);

NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL
APPLICATION TO THE DESIGNATED OFFICES (Form PCT/IB/308);

Check - \$1,200.00

| | | |
|---|--|--|
| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492 (a) (1) - (5)) : | INTERNATIONAL APPLICATION NO. PCT/JP98/00442 | ATTORNEY'S DOCKET NUMBER 48699 |
|---|--|--|

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|--|---|---------------------|-------------------------------------|----------------------------------|---------------|
| 20. The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : | | | | | |
| <input checked="" type="checkbox"/> | Search Report has been prepared by the EPO or JPO | | \$930.00 | | |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO (37 CFR 1.482) | | \$720.00 | | |
| <input type="checkbox"/> | No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) | | \$790.00 | | |
| <input type="checkbox"/> | Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO | | \$1,070.00 | | |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) | | \$98.00 | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$930.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 | | | | \$130.00 | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 8 - 20 = | 0 | x \$22.00 | \$0.00 | |
| Independent claims | 2 - 3 = | 0 | x \$82.00 | \$0.00 | |
| Multiple Dependent Claims (check if applicable). | | | <input checked="" type="checkbox"/> | \$270.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1,330.00 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). | | | | <input type="checkbox"/> | \$0.00 |
| SUBTOTAL = | | | | \$1,330.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 | | | | \$0.00 | |
| TOTAL NATIONAL FEE = | | | | \$1,330.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). | | | | <input type="checkbox"/> | \$0.00 |
| TOTAL FEES ENCLOSED = | | | | \$1,330.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | charged | \$ |

| | |
|---|--|
| <input checked="" type="checkbox"/> A check in the amount of \$1,330.00 to cover the above fees is enclosed. | |
| <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed. | |
| <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 04-1105 A duplicate copy of this sheet is enclosed. | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | |
| SEND ALL CORRESPONDENCE TO: | |
| <div style="border: 1px solid black; padding: 5px;"> David G. Conlin, Esquire Dike, Bronstein, Roberts & Cushman, LLP 130 Water Street Boston, MA 02109 Tel: (617) 523-3400 </div> | |
| <div style="text-align: right;">  SIGNATURE David G. Conlin NAME 27,026 REGISTRATION NUMBER October 1, 1998 DATE </div> | |

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|--|--------------------------------------|-------------------------------------|---|
| CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) | | | Docket No. 48699 |
| Applicant(s): Hideharu Sato, et al. | | | |
| Serial No. Not Yet Assigned | Filing Date Filed Herewith | Examiner Not Yet Assigned | Group Art Unit Not Yet Assigned |
| Invention: LITHIUM ION SECONDARY BATTERY | | | |
| <p>I hereby certify that this <u>U.S. NATIONAL APPLICATION</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>October 1, 1998</u> (Date)</p> <p><u>Louise M. Rappaport</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u>Louise M. Rappaport</u> (Signature of Person Mailing Correspondence)</p> <p><u>EL208754360US</u> ("Express Mail" Mailing Label Number)</p> | | | |
| <p>Note: Each paper must have its own certificate of mailing.</p> | | | |